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From : Winston Hsu, Registration No. 41,526

Serial No.: 10/791,709

Attorney Docket No.: UECP0012USA

Subject: Information Disclosure Statement (IDS)

Total Pages: 46 pages (including cover page)

Winston Hsu 2005/11/03

UECP0012USA0_D1_2

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PTO/SB/21 (09-04)

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/791,709	
	Filing Date	03/04/2004	
	First Named Inventor	Jen-Chau Wu	
	Art Unit	2814	
	Examiner Name	PHAM, LONG	
Total Number of Pages in This Submission	45	Attorney Docket Number	UECP0012USA

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	North America Intellectual Property Corporation		
Signature	<i>Winston Hsu</i>		
Printed name	Winston Hsu		
Date	11/03/2005	Reg. No.	41,526

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature	<i>Cindy Lin</i>		
Typed or printed name	Cindy Lin	Date	11/03/2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (12-04)

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Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818). FEE TRANSMITTAL For FY 2005		Complete if Known Application Number: 10/791,709 Filing Date: 03/04/2004 First Named Inventor: Jen-Chau Wu Examiner Name: PHAM, LONG Art Unit: 2814 Attorney Docket No.: UECP0012USA	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27			
TOTAL AMOUNT OF PAYMENT (\$) 0.00			

METHOD OF PAYMENT (check all that apply)

☐ Check
 ☐ Credit Card
 ☐ Money Order
 ☐ None
 ☐ Other (please identify): _____

☒ Deposit Account
 Deposit Account Number: 50-3105
 Deposit Account Name: North America Intellectual Property Corp.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below
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 ☒ Credit any overpayments

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FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Small Entity Fee (\$)	Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

Total Claims **Extra Claims** **Fee (\$)** **Fee Paid (\$)** **Multiple Dependent Claims**
 - 20 or HP = _____ x _____ = _____
 HP = highest number of total claims paid for, if greater than 20
Indep. Claims **Extra Claims** **Fee (\$)** **Fee Paid (\$)**
 - 3 or HP = _____ x _____ = _____
 HP = highest number of independent claims paid for, if greater than 3

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
- 100 = _____	/ 50 = _____	(round up to a whole number) x _____		

4. OTHER FEE(S)

	Fees Paid (\$)
Non-English Specification, \$130 fee (no small entity discount)	
Other: submission of Information Disclosure Statement	0.00

SUBMITTED BY			
Signature	<i>Winston Hsu</i>	Registration No. (Attorney/Agent)	41,526
Name (Print/Type)	Winston Hsu	Telephone	302-729-1562
		Date	11/03/2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Wu, Jen-Chau et al.

5 Appl. No.: 10/791,709 Filing Date: 03/04/2004
Examiner: Pham, Long Art Unit: 2814
Docket No.: UECP0012USA Confirmation No.: 5086

10 Title: ESD PROTECTION CONFIGURATION AND METHOD FOR LIGHT
EMITTING DIODES

To: Commissioner for Patents
P.O. BOX 1450
Alexandria, VA 22313-1450

15

Subject: Information disclosure statement under 37 CFR §1.56

Dear Sir,

20

This is an Information Disclosure Statement in accordance with the duty to disclose information material to patentability under 37 CFR §1.56. The applicant wishes to make of record the documents listed on the accompanying form
25 PTO/SB/08.

Since this IDS is filed after the mailing date of the first Office action but before notice of allowance, consideration of the information disclosure statement is hereby requested
30 according to 37 CFR §1.97(c).

That each item of information contained in the information

disclosure statement was first cited in an Office communication mailed on September 6, 2005 for the counterpart Japan patent application number 2003-318638, which are no more than three months from the filing of the information disclosure
5 statement.

According to the requirement set forth in 37 CFR §1.98, a copy of each cited reference and its English language abstract is included to fulfill the concise explanation
10 requirement. The title of the cited references, Japanese patent application number JP P2001-15817A, Japanese patent application number JP P2001-93320A, and Japanese Patent number JP 8-56034 and an English language abstract of each cited reference are as follows.

15

For cited reference JP P2001-15817A:

Title:

COMPOUND LIGHT-EMITTING ELEMENT, LIGHT-EMITTING DIODE AND
20 MANUFACTURE THEREOF

Abstract:

PROBLEM TO BE SOLVED: To provide a compound light-emitting element of a constitution, wherein the layer thickness of a resin containing a fluorescent material, for making a
25 wavelength conversion of light from the main light-extraction surface of a flip-chip light-emitting element into a wavelength conversion of white light is optimized and the pure white light is obtained, and to provide a light-emitting device
30 and the manufacturing method of the device.

SOLUTION: A flip-chip light-emitting element 1 conductively mounted on a submount element 2 is provided, the

periphery of the element 1 is covered with a first resin 16 containing a fluorescent material for making a wavelength conversion of light from this element 1 using the element 2 as a saucer, either of the main light-extraction surface of the upper surface of a transparent substrate 1a of the element 1 and the shell surface (top panel) of the resin 16 or both of the main light-extraction surface and the shell surface (top panel) is or are provided in parallel to the rear electrode formation surface of the element 2, the film thickness of the resin 16 on the main light-extraction surface is uniformly formed, and light from the entire main light-extraction surface of the element 1 is evenly made a wavelength conversion to enable an emission having not a color shading.

15

For cited reference JP P2001-93320A:

Title:

SURFACE LIGHT SOURCE UNIT

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Abstract:

PROBLEM TO BE SOLVED: To improve the constraint of a combination of an edge line type surface light source unit integrated with a LED as a light source and a mother substrate and provide more resistance to static electricity of the LED.

SOLUTION: An edge light type surface light source unit comprises a light guide member 1 having at least one through-hole 8 or blind hole for refracting or reflecting an emitted light from a light source and reflecting parts 6 provided at both sides of a portion opposed to a LED 2 on the side face of the light guide member. The LED 2 is connected to a capacitor (not illustrated) for preventing its

destruction and an adjusting resistance and mounted on a LED substrate 13 and the LED substrate 13 is joined to a side face 12c opposed to the through-hole 8 or the blind hole in the light guide member

5

For cited reference JP 8-56034:

Title:

10 SEMICONDUCTOR LIGHT EMITTING ELEMENT DRIVE CIRCUIT

Abstract:

PURPOSE: To obtain a current pulse waveform free of overshoot and ringing, and prevent generation of parasitic inductance.

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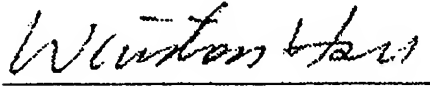
CONSTITUTION: A semiconductor light emitting element drive circuit for driving a light emitting element 4 is provided with the following a bipolar transistor 1 which drives the light emitting element 4 by applying a control signal for driving the light emitting element 4 to the base, and making a current flow across the emitter and the collector in response with the control signal, and an insulated gate type transistor 3 which acts as a constant current supply connected with the bipolar transistor 1.

20
25

It is respectfully requested that the examiner can consider the documents listed on the accompanying form PTO/SB/08 and that it be made of record in the application. The applicants sincerely hope that the examiner initials the cited references on the form and that a copy of the initialed form be sent to the applicants with the next communication from the examiner.

30

Respectfully submitted,



Date: November 3, 2005

Winston Hsu, Patent Agent No. 41,526

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